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1. PROBLEM:

To evaluate the current Fitness Reporting System and suggest improvements.

2. FACTS BEARING ON THE PROBLEM:

- a. As outlined in Tab A, the Agency has used, during the past twelve years, various kinds of Fitness Reporting systems. Under the leadership of the Career Council, a great deal of coordinated effort and careful consideration have gone into the development, installation and improvement of these employee evaluation systems.
- b. The current Fitness Report, Form 45, was developed during 1958 by a Task Force of Senior Officials from all parts of the Agency. It was approved by the Council and put into effect on 1 January 1959. This Report is largely a combination of those parts of previous Fitness Reporting Forms which proved most useful and acceptable for employee evaluation purposes in the opinion of the Task Force Members and the Career Council.
- c. The Agency's statutory exemption from the Performance Rating Act makes it permissible for CIA to adopt any type of employee rating system it considers appropriate or, for that matter, to forego the use of a formal employee rating system.

3. DISCUSSION:

- a. Although there is a tendency on the part of many to dismiss Fitness Report ratings as not meaningful, our major personnel programs are

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geared to the use of such employee evaluations for the management of our personnel. Career Services and Operating Offices consider Fitness Report evaluations in selecting personnel for assignment, for competitive promotion, and for training. Fitness Report ratings assume critical significance in determining nominations of individuals for selection-out and in ranking personnel on relative retention lists covering surplus categories of personnel. Accordingly, it seems obvious that we must strive to achieve a Fitness Report program which will meet our administrative requirements and provide equity to our personnel.

- b. The preparation and discussion of Fitness Reports are regarded as onerous tasks by most supervisors. Constant follow-up/^{efforts}by management are needed to maintain such reports in reasonably current status. The number of delinquent reports generally exceeds 500. Understandably, many of these apply to overseas personnel.
- c. With the foregoing facts in mind, a study of a large group of recent Fitness Reports was made and a review completed of comments and suggestions received voluntarily and upon solicitation from operating officials, Career Service representatives, personnel officers and employees. The study reveals that the following parts of our Fitness Report system warrant careful examination to determine ways and means by which improvements can be made:

(1) Rating Standards

The Record, Tab B, indicates such standards are almost totally

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ineffective and that statistically ratings are highly inflated. For example, 95% of GS-12 and GS-13 personnel are evaluated by their superiors as "clearly exceeding the basic requirements" of their positions. Further, more than 50% of GS-12 and GS-13 personnel are evaluated as "superior" or higher in overall performance, despite the fact that these individuals are being compared with their peers, who are presumably at the same grade level and performing similar work. This standard of rating discredits the Fitness Report program and gives terms such as "superior" a hollow meaning. More important, it suggests conclusions that our Agency supervisors are inadequately trained in their supervisory responsibilities, that they lack courage, or that reviewing officials are encouraging unrealistic ratings by failure to assume their own responsibilities.

On the other hand, it must be recognized that the Agency' situation with respect to rating standards is probably no worse than exists in most other Federal agencies and private organizations. Second, some advantages are gained in achieving better production and employee morale through the use of encouraging ratings. These are short-term advantages, however, and lead to more serious problems over the long run in situations where it is necessary to take adverse actions against employees frankly acknowledged to be less than mediocre but whose Fitness Reports faithfully document their performance as most distinguished.

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With respect to other numerical ratings on the current Fitness Report Form, much the same situation applies. As noted in Tab C, about three fourths of the ratings applying to specific duties performed by employees (Section B) are of the "5" (Excellent) level or higher on the 7 degree scale. Similarly, in Section D, Employee Characteristics, three-fourths of the ratings are 4 or better, using a 5 point scale.

In terms of the averages tabulated for the ratings in these sections, the following situation obtains:

<u>Section</u>	<u>Items Rated</u>	<u>Rating Scale</u>	<u>Agency Average</u>
B	Specific Duties	4 Competent 5 Excellent 6 Superior	5 Excellent
C	Overall Performance	4 Clearly Exceeds Requirements 5 Superior in Every Important Respect	4.3
D	Employee Characteristics	3 Normal Degree 4 Above Average 5 Outstanding	4.0 Above Average

The proclivity to rate generously has not been confined to the current Fitness Report Form or system but has long existed in this and other Agencies. Several of our Career Service Heads and operating officials have made and are making genuine and aggressive efforts to obtain realistic ratings of individuals under their jurisdiction. Although some successes have been achieved in parts of the Agency, a unified Agency-wide effort in this respect has not been undertaken and may be worth con-

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sideration.

Such a program, however, would involve mass "down-rating" of employees if we are to achieve more realistic dispersion of the ratings using the scales now provided. This program would undoubtedly pose morale problems on the part of employees adversely affected, great reluctance on the part of supervisors, and in the long run could well cost more to all concerned than it might be worth.

The logical alternate is the institution of a changed rating structure which would make possible for supervisors to make a fresh start. Obviously, if it is to succeed, such a system would require understanding by all concerned, courageous and objective action by rating officials, and a most careful system of review and control.

(2) Differences in Numerical Rating Scales, Sections B, C, and D:

In Section B, each individual is rated on the manner of performance of specific major duties on a 7 point scale. In Section C, the individuals overall performance in his current position is rated on a 6 point scale, whereas in Section D, each individual's characteristics are rated on a 5 point scale. This variance in scale was built into the format intentionally by the Task Force. A principal purpose was to avoid standardization of ratings by making direct comparisons between ratings of Section B, C, and D not meaningful. The association of adjectival descriptions

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with the varying number of rating degrees has caused misunderstandings on the part of raters and employees being rated, and has generated a number of official comments and employee suggestions that we adopt a simple uniform rating scale. A consolidation of the three separate rating scales on the basis of the adjective ratings indicates that literally there are 9 distinguishable degrees of rating:

<u>Section B</u> <u>Specific Duties</u>	<u>Section C</u> <u>Overall Performance</u>	<u>Section D</u> <u>Employee Characteristics</u>
1. Unsatisfactory (1)	Fails to Meet Requirements (1)	Least Possible Degree (1)
2. Barely Adequate (2)	Limited Degree (2)
3.	Meets Most Requirements; Deficient in One or More Important Respects (2)
4. Acceptable (3)
5. Competent (4)	Meets Basic Requirements (3)	Normal Degree (3)
6.	Exceeds Basic Requirements (4)	Above Average (4)
7. Excellent (5)
8. Superior (6)	Superior (5)
9. Outstanding (7)	Outstanding (6)	Outstanding (5)

The above comparison supports the suggestions that our current rating scales be simplified for easier understanding. A proposal along these lines is submitted in paragraph of this study.

(3) Content of the Fitness Report:

Section A - General

This section covers basic data identifying employee and his status. Changes may be required to indicate category of employee to replace section titled "Career Staff Status".

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Section B - Evaluation of Performance of Specific Duties

Review of comments and suggestions reveals the general agreement that specific major duties warrant individual evaluation on a numerical-adjective scale. One official proposes that the employee list his specific duties in narrative fashion to be modified by rater, if necessary. Rater would then describe in narrative how well each duty has been performed. In essence, this proposal reflects a combination of Section B with Section E., Narrative Description of Job Performance. This system was used by the Agency from August 1952 until September 1954, Form 37-151, Tab A, but was abandoned partly because such narrative evaluations of specific duties tended to be generalized and did not provide a basis for comparison of performance between individuals. In summary, the continuance of this section in its present form with revision of the rating scale seems desirable.

Section C.- Evaluation of Overall Performance in Current Position

There exists almost unanimous opinion that an overall rating of performance is essential to the purposes a Fitness Report should serve in the Agency. Most comments received emphasized that it should be made clear that each employee is being compared with others of similar level and type of work in CIA, not with the population at large. Again, the desirability of changing the rating scale to conform with other sections of the Fitness Report was recommended strongly.

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Section D - Description of the Employee

The weight of opinion by users of the Reports is that the ratings of specific characteristics is not very meaningful and could well be discontinued. It was pointed out that such characteristics as "Gets Things Done", "Resourceful", "Writes Effectively", and the like would, if applicable to the job performed be considered in the level of rating accorded specific duties in Section B and in the narrative evaluation of performance, Section E. Accordingly, the purpose of this section might be served equally well if the instructions for Sections B and E would include a statement that

"In the evaluation of the manner of performance of specific duties and overall job performance, the following factors will be considered and specifically commented upon when they are considered of significance in the job:

Productivity	Resourcefulness
Decisiveness	Security Consciousness
Ability to Think	Supervisory Effectiveness
Clearly	Effectiveness of Written
Records Discipline	Expression

Section D would then be eliminated, and the report thereby simplified without losing any vital elements.

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Section E - Narrative Description of Manner of Job Performance:

This narrative section is acknowledged by virtually all users as the most informative and reliable part of the Fitness Report. It's retention is unanimously desired. In fact, several suggestions were that we expand this section by providing additional space and establishing separate sub-sections to assure receipt of narrative comments on items such as strengths, weaknesses, potential, recommended training and future assignments, and suitability for overseas. It will be noted that this type of approach was used for several years by the Agency, Form 37-151, May 1952, Tab A, and to a lesser degree on succeeding report forms. The approach was abandoned, however, by the Council Task Force in developing the current form. The Task Force reasoned that greater flexibility and more useful narrative information would result if we do not force raters into following a rigid pattern but merely provide guide lines as to coverage of the narrative. Results since then have proved generally satisfactory and the only changes recommended for this section include additional space and some amplification of the instructional guidelines.

Section F - Certification and Comments:

Few comments have been received on this section. A review of information received indicates little purpose is served by the sub-section which provides the supervisor returns the blank form with explanation when a report is not made. This part could well be eliminated to save space and paper-work. The comments of reviewing official sub-section is rarely used. Consideration should be given to making such comments mandatory. The reviewing official would state why he would give the employee the same

or different evaluation by providing a short narrative performance evaluation. This change could contribute to the improving the realism of the rating program; currently, the role of the reviewing official and his accountability for endorsement of Fitness Report ratings have not been strongly emphasized in many parts of the Agency.

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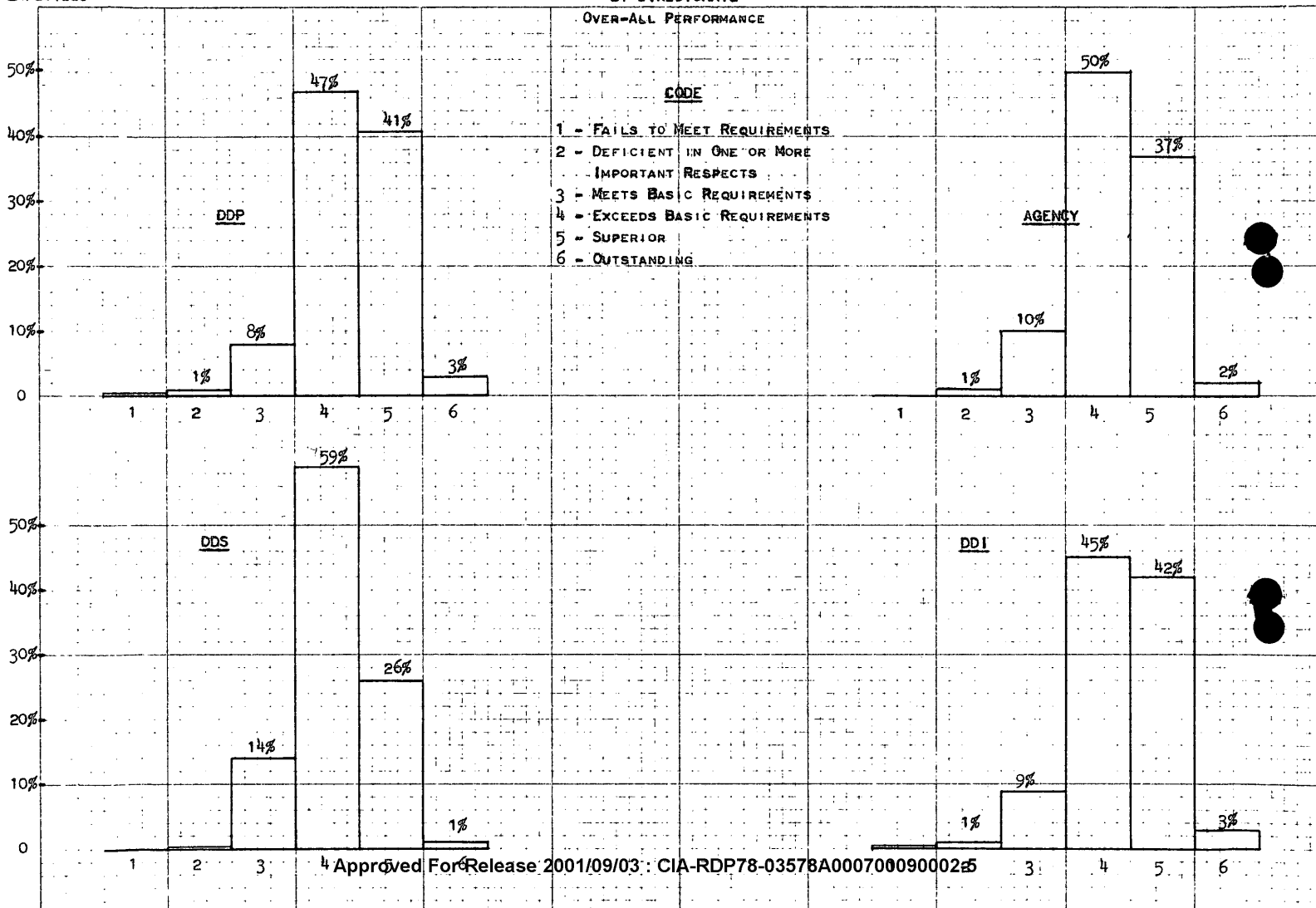
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% DISTRIBUTION OF 1960 FITNESS REPORT RATINGS
BY DIRECTORATE

%
EMPLOYEES



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DISTRIBUTION BY GRADE GROUPS OF FITNESS REPORT RATINGS DESCRIPTIVE OF THE EMPLOYEE

SECTION D

RATING 1 - LEAST POSSIBLE DEGREE

RATING 2 - LIMITED DEGREE

RATING 3 - NORMAL DEGREE

RATING 4 - ABOVE AVERAGE DEGREE

RATING 5 - OUTSTANDING DEGREE

50%
40%
30%
20%
10%
0

GRADE GROUPS

GS-6 - 8

GS-9 - 11

GS-12 - 13

TOTAL (GS-6-13)

PERCENT OF GROUP RATED 1

0%

0%

0%

0%

PERCENT OF GROUP RATED 2

1%

3%

1%

1%

PERCENT OF GROUP RATED 3

29%

29%

19%

26%

PERCENT OF GROUP RATED 4

51%

51%

56%

53%

PERCENT OF GROUP RATED 5

1%

1%

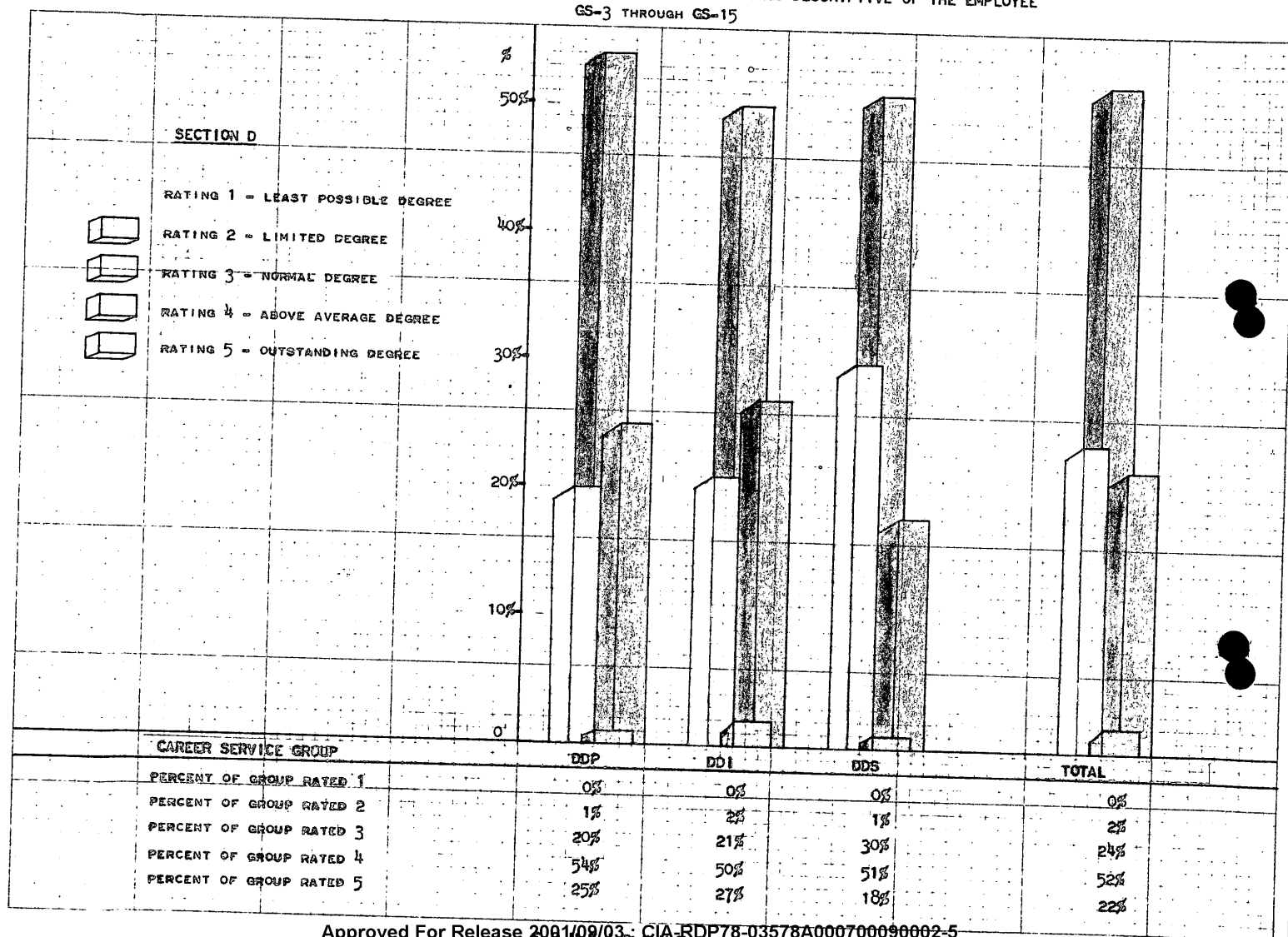
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20%

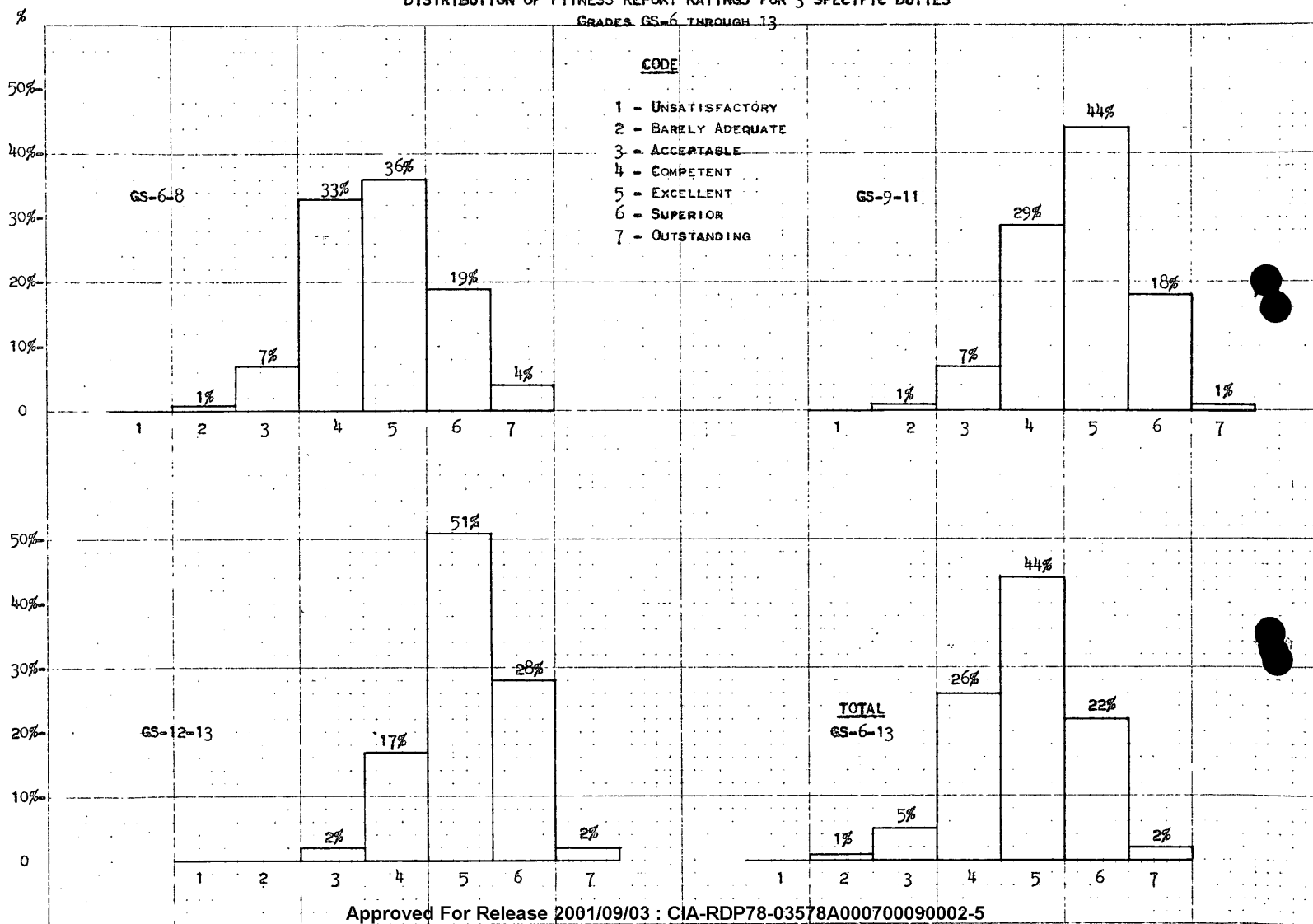
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 DISTRIBUTION BY CAREER SERVICE OF FITNESS REPORT RATINGS DESCRIPTIVE OF THE EMPLOYEE
 GS-3 THROUGH GS-15



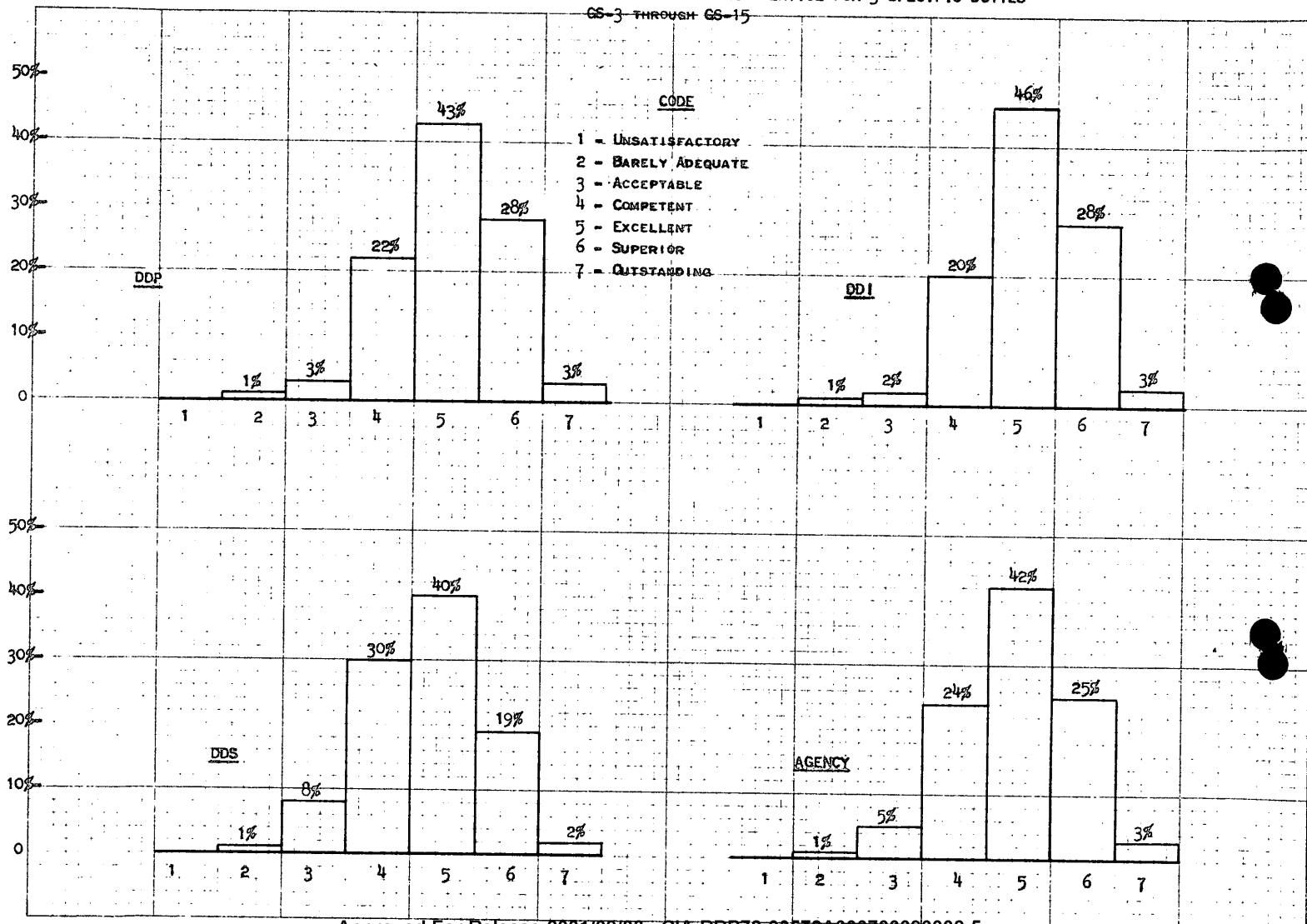
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DISTRIBUTION OF FITNESS REPORT RATINGS FOR 3 SPECIFIC DUTIES
GRADES GS-6 THROUGH 13



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DISTRIBUTION OF FITNESS REPORT RATINGS BY CAREER SERVICE FOR 3 SPECIFIC DUTIES
GS-3 THROUGH GS-15



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TABULATION OF FITNESS REPORT RATINGS BY GRADE
GS-3 through GS-15

Grade	Number in Sampling	SECTION B							SECTION D				
		Distribution of Ratings for 3 Specific Duties							Description of the Employee				
		1	2	3	4	5	6	7	1	2	3	4	5
GS-15	15		1	2	5	15	20	2		4	34	52	45
GS-14	26				5	30	38	5			17	133	105
GS-13	35			1	13	52	36	3			56	198	96
GS-12	42			4	27	65	28	2		4	95	229	86
GS-11	20		2	7	13	30	7	1		14	59	90	30
GS-10	9				3	14	10				13	48	29
GS-9	35			6	40	41	18			2	104	177	44
GS-8	18			3	20	7	19	2		3	47	57	35
GS-7	41		2	12	42	48	13	6		6	125	193	69
GS-6	20			1	16	29	13	1			41	118	30
GS-5	24			3	12	37	17	3		2	48	117	55
GS-4	14			6	16	15	4	1		10	35	58	21
GS-3	2				5	1					6	10	1
Total	300	-	5	45	217	384	223	26	-	45	680	1480	646
Percentage		0%	1%	5%	24%	42%	25%	3%	0%	2%	24%	52%	22%
Average Rating		5							4				

- 1 - Unsatisfactory
2 - Barely Adequate
3 - Acceptable
4 - Competent
5 - Excellent
6 - Superior
7 - Outstanding

- 1 - Least Possible Degree
2 - Limited Degree
3 - Normal Degree
4 - Above Average Degree
5 - Outstanding Degree

The material used in this sampling is taken from 1960 fitness reports. The distribution among grades is in approximately the same ratio as the actual Agency employee grade distribution. In Section B the ratings apply only to the first three specific duties regardless of the number of duties rated. In Section D all ratings describing the characteristics of the employee were tabulated--usually ten, unless the characteristics were not applicable or not observed.

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THE CHARACTERISTICS WERE NOT APPLICABLE OR NOT OBSERVED.

C O N F I D E N T I A L

TABULATION OF FITNESS REPORT RATINGS BY CAREER SERVICE
GS-3 THROUGH GS-15

CAREER SERVICE	NUMBER IN SAMPLING	SECTION B DISTRIBUTION OF RATINGS FOR 3 SPECIFIC DUTIES							SECTION D DESCRIPTION OF THE EMPLOYEE				
		1	2	3	4	5	6	7	1	2	3	4	5
D TOTAL	117	-	2	13	76	150	98	12	-	16	220	610	277
		-	1%	3%	22%	43%	28%	3%	-	1%	20%	54%	25%
SA	8	-	-	1	6	9	8	-	-	-	24	42	12
SC	36	-	1	15	50	32	10	-	-	4	156	149	23
SF	13	-	-	3	13	19	3	1	-	2	38	62	20
SJ	3	-	-	-	6	3	-	-	-	-	6	17	6
SL	16	-	1	4	9	27	7	-	-	5	38	78	28
SM	2	-	-	-	1	2	-	3	-	-	4	5	10
SP	8	-	-	3	2	10	9	-	-	5	14	48	10
SS	17	-	-	1	9	24	16	1	-	-	26	95	46
ST	7	-	-	-	2	7	10	2	-	1	7	32	30
TOTAL DDS TYPE	110	-	2	27	99	133	63	7	-	17	313	528	185
		-	1%	8%	30%	40%	19%	2%	-	1%	30%	51%	18%
C	16	-	1	1	8	28	9	1	-	3	26	73	34
I	1	-	-	-	-	1	2	-	-	-	4	6	-
IB	2	-	-	-	1	2	2	1	-	-	1	9	9
IC	7	-	-	-	3	9	8	1	-	1	13	26	26
IN	1	-	-	-	2	1	-	-	-	-	6	3	-
IP	4	-	-	1	2	6	3	-	-	-	4	29	4
IR	14	-	-	2	14	16	10	-	-	5	39	53	34
IS	8	-	-	1	2	7	12	2	-	-	12	33	34
OB	7	-	-	-	7	8	6	-	-	1	16	32	17
OC	7	-	-	-	1	14	4	2	-	2	19	37	18
OD	6	-	-	-	3	9	6	-	-	-	7	41	8
TOTAL DDI TYPE	73	-	1	5	43	101	62	7	-	12	147	342	184
		-	1%	2%	20%	46%	28%	3%	-	2%	21%	50%	27%
GRAND TOTAL	300	-	5	45	217	384	223	26	-	45	680	1480	646
		-	1%	5%	24%	42%	25%	3%	-	2%	24%	52%	22%

1 - UNSATISFACTORY
2 - BARELY ADEQUATE
3 - ACCEPTABLE
4 - COMPETENT
5 - EXCELLENT
6 - SUPERIOR
7 - OUTSTANDING

1 - LEAST POSSIBLE DEGREE
2 - LIMITED DEGREE
3 - NORMAL DEGREE
4 - ABOVE AVERAGE DEGREE
5 - OUTSTANDING DEGREE

THE MATERIAL USED IN THIS SAMPLING IS TAKEN FROM 1960 FITNESS REPORTS. THE DISTRIBUTION AMONG CAREER SERVICES IS IN APPROXIMATELY THE SAME RATIO AS THE ACTUAL AGENCY CAREER SERVICE EMPLOYEE DISTRIBUTION. IN SECTION B THE RATINGS APPLY ONLY TO THE FIRST THREE SPECIFIC DUTIES REGARDLESS OF THE NUMBER OF DUTIES RATED. IN SECTION D ALL RATINGS DESCRIBING THE CHARACTERISTICS OF THE EMPLOYEE WERE TABULATED--USUALLY TEN, UNLESS THE CHARACTERISTICS WERE NOT APPLICABLE OR NOT OBSERVED.

C O N F I D E N T I A L

TAB

SECRET

FITNESS REPORT

EMPLOYEE SERIAL NUMBER

SECTION A

GENERAL

1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH		3. SEX	4. GRADE
5. SERVICE DESIGNATION		6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT	
8. CAREER STAFF STATUS				9. TYPE OF REPORT		
<input type="checkbox"/> NOT ELIGIBLE		<input type="checkbox"/> MEMBER		<input type="checkbox"/> DEFERRED		<input type="checkbox"/> INITIAL
<input type="checkbox"/> PENDING		<input type="checkbox"/> DECLINED		<input type="checkbox"/> DENIED		<input type="checkbox"/> ANNUAL
10. DATE REPORT DUE IN O.P.		11. REPORTING PERIOD From To		SPECIAL (Specify)		

SECTION B

EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES

List up to six of the most important specific duties performed during the rating period. Insert rating number which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised).

1 - Unsatisfactory	2 - Barely adequate	3 - Acceptable	4 - Competent	5 - Excellent	6 - Superior	7 - Outstanding
SPECIFIC DUTY NO. 1		RATING NO.	SPECIFIC DUTY NO. 4		RATING NO.	
SPECIFIC DUTY NO. 2		RATING NO.	SPECIFIC DUTY NO. 5		RATING NO.	
SPECIFIC DUTY NO. 3		RATING NO.	SPECIFIC DUTY NO. 6		RATING NO.	

SECTION C

EVALUATION OF OVERALL PERFORMANCE IN CURRENT POSITION

Take into account everything about the employee which influences his effectiveness in his current position - performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal traits or habits, particular limitations or talents. Based on your knowledge of employee's overall performance during the rating period, place the rating number in the box corresponding to the statement which most accurately reflects his level of performance.

- 1 - Performance in many important respects fails to meet requirements.
- 2 - Performance meets most requirements but is deficient in one or more important respects.
- 3 - Performance clearly meets basic requirements.
- 4 - Performance clearly exceeds basic requirements.
- 5 - Performance in every important respect is superior.
- 6 - Performance in every respect is outstanding.

RATING NO.

SECTION D

DESCRIPTION OF THE EMPLOYEE

In the rating boxes below, check (X) the degree to which each characteristic applies to the employee

1 - Least possible degree	2 - Limited degree	3 - Normal degree	4 - Above average degree	5 - Outstanding degree					
CHARACTERISTICS			NOT APPLI- CABLE	NOT OB- SERVED	RATING				
					1	2	3	4	5
GETS THINGS DONE									
RESOURCEFUL									
ACCEPTS RESPONSIBILITIES									
CAN MAKE DECISIONS ON HIS OWN WHEN NEED ARISES									
DOES HIS JOB WITHOUT STRONG SUPPORT									
FACILITATES SMOOTH OPERATION OF HIS OFFICE									
WRITES EFFECTIVELY									
SECURITY CONSCIOUS									
THINKS CLEARLY									
DISCIPLINE IN ORIGINATING, MAINTAINING AND DISPOSING OF RECORDS									
OTHER (Specify):									

SEE SECTION "E" ON REVERSE SIDE

SECRET

(When Filled In)

SECTION E

NARRATIVE DESCRIPTION OF MANNER OF JOB PERFORMANCE

Stress strengths and weaknesses demonstrated in current position. Indicate suggestions made to employee for improvement of his work. Give recommendations for his training. Describe, if appropriate, his potential for development and for assuming greater responsibilities. Amplify or explain, if appropriate, ratings given in SECTIONS B, C, and D to provide the best basis for determining future personnel actions.

SECTION F

CERTIFICATION AND COMMENTS

1. **BY EMPLOYEE**
I certify that I have seen Sections A, B, C, D and E of this Report.

DATE SIGNATURE OF EMPLOYEE

2. **BY SUPERVISOR**

MONTHS EMPLOYEE HAS BEEN UNDER MY SUPERVISION IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION

IF REPORT IS NOT BEING MADE AT THIS TIME, GIVE REASON.

EMPLOYEE UNDER MY SUPERVISION LESS THAN 90 DAYS

REPORT MADE WITHIN LAST 90 DAYS

OTHER (Specify):

DATE OFFICIAL TITLE OF SUPERVISOR TYPED OR PRINTED NAME AND SIGNATURE

3. **BY REVIEWING OFFICIAL**

I WOULD HAVE GIVEN THIS EMPLOYEE ABOUT THE SAME EVALUATION.

I WOULD HAVE GIVEN THIS EMPLOYEE A HIGHER EVALUATION.

I WOULD HAVE GIVEN THIS EMPLOYEE A LOWER EVALUATION.

I CANNOT JUDGE THESE EVALUATIONS. I AM NOT SUFFICIENTLY FAMILIAR WITH THE EMPLOYEE'S PERFORMANCE.

COMMENTS OF REVIEWING OFFICIAL

DATE OFFICIAL TITLE OF REVIEWING OFFICIAL TYPED OR PRINTED NAME AND SIGNATURE

SECRET

TAB

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ANALYSIS OF FITNESS REPORTS

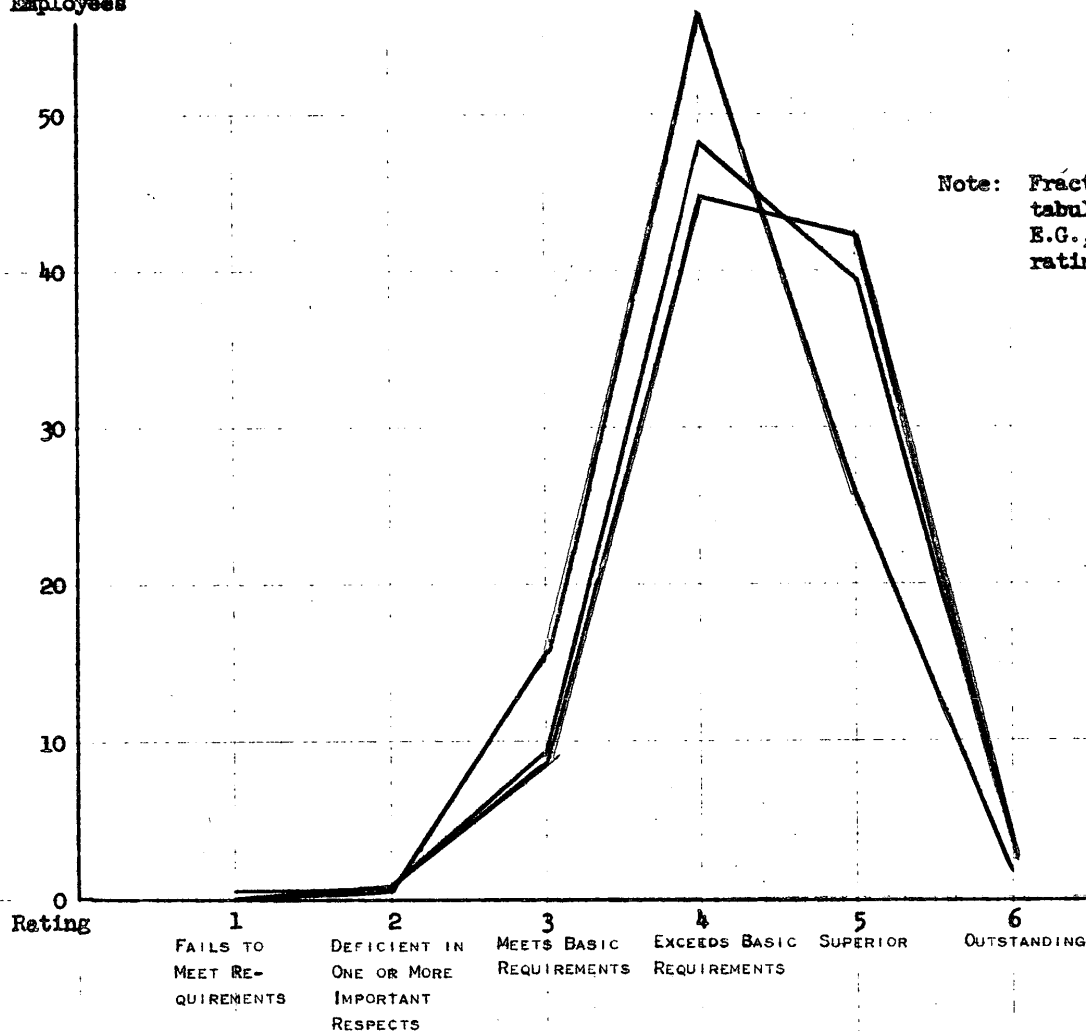
(Over-all Performance Rating)

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Employees

DDS
DDI
DDP

Note: Fractional and Slash Ratings are tabulated according to lower number. E.G., 4.5 or 4/5 are tabulated as ratings of 4.



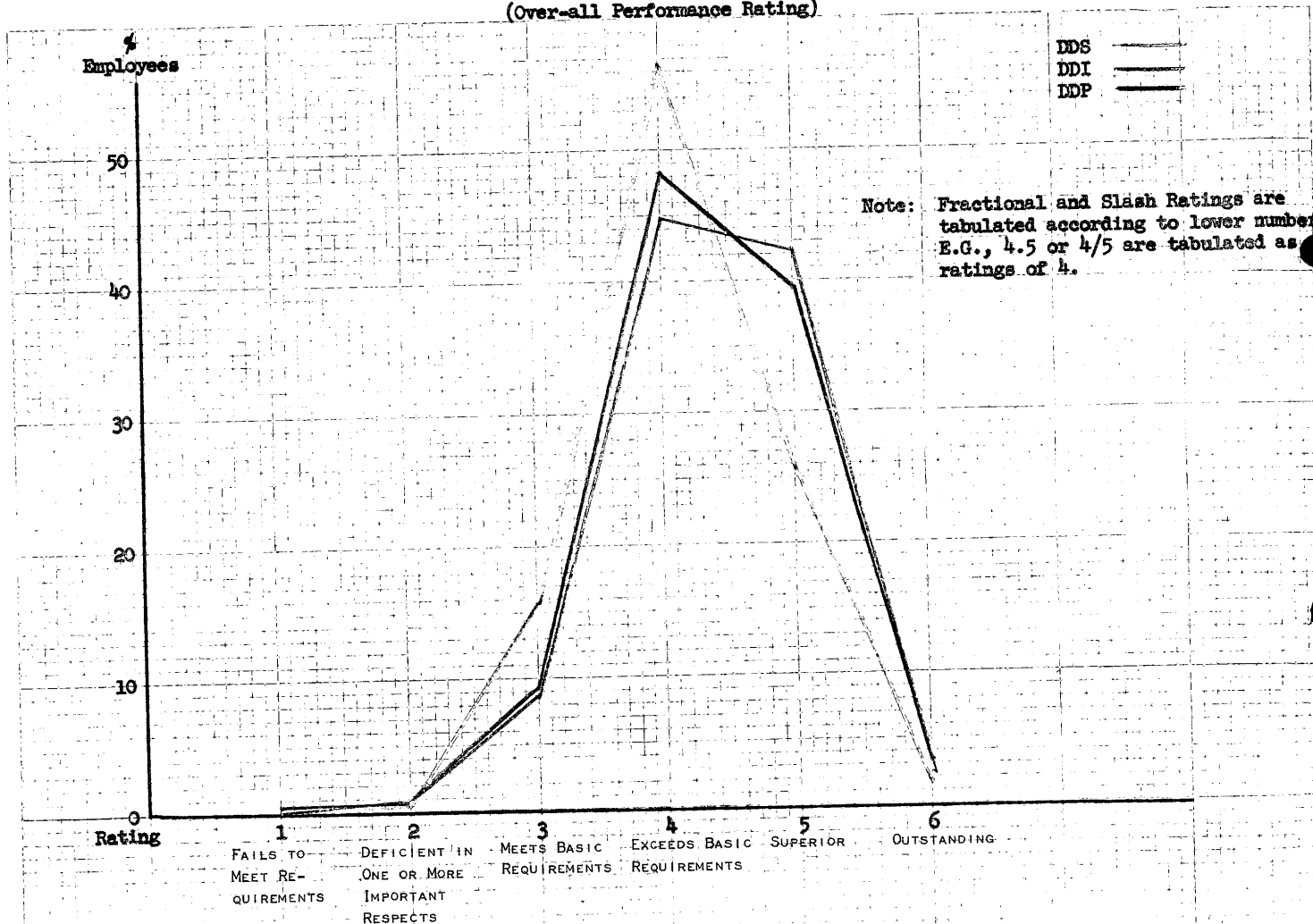
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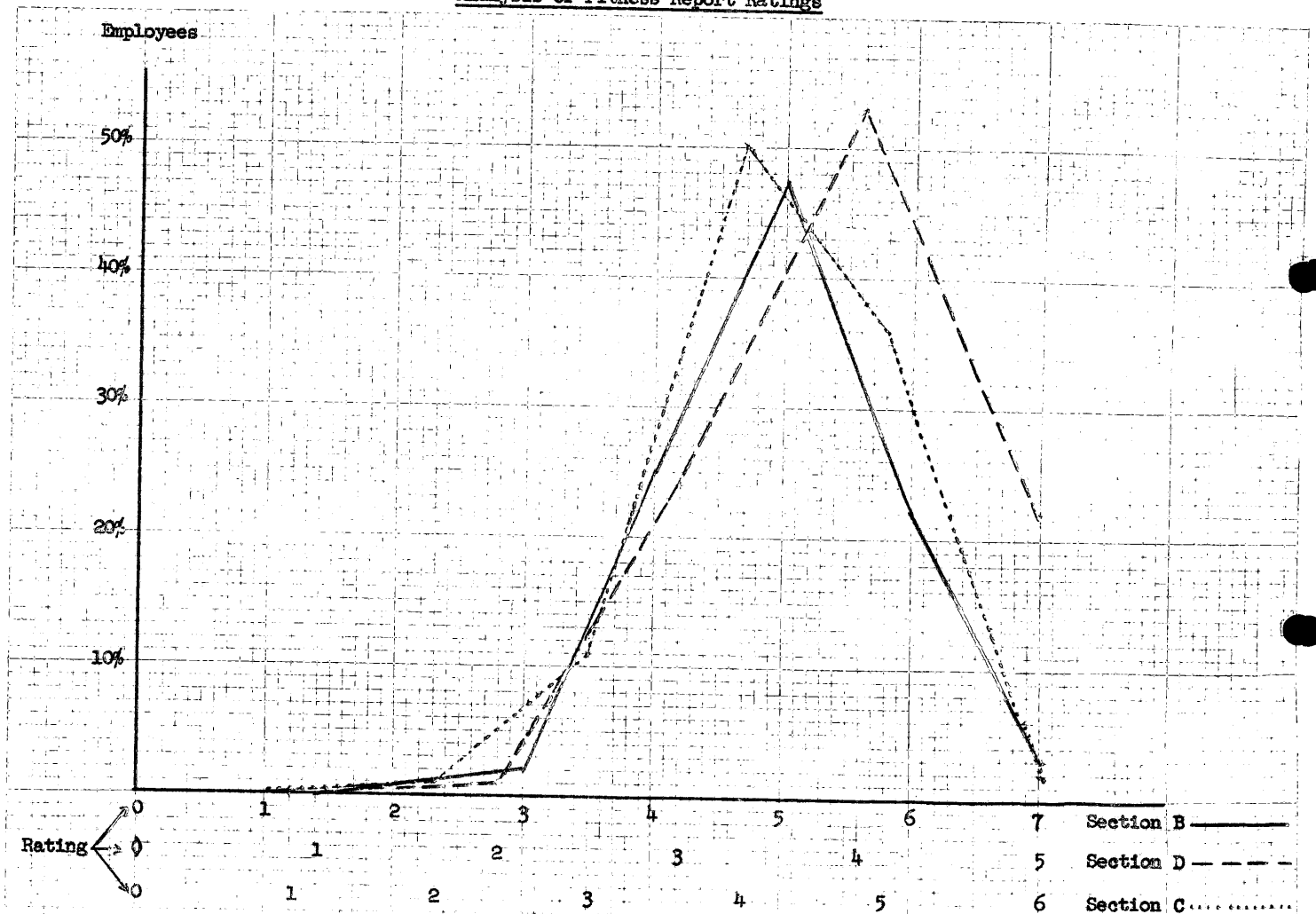
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ANALYSIS OF FITNESS REPORTS
(Over-all Performance Rating)



Analysis of Fitness Report Ratings



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